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10351 U.S. PTO

As modified by Blakely, Sokoloff, Taylor & Zafman LLP

PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 004085.P037

(maximum 12 characters)

First Named Inventor Shoji Suzuki

Title: A MAGNETIC RECORDING DISK HAVING A TRANSITION ZONE

Express Mail Label No. EV336588255US

ADDRESS TO: Commissioner for Patents  
PO Box 1450  
Alexandria, Virginia 22313-1450

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant Claims Small Entity Status. (37 CFR 1.27)
3. ☒ Specification (Total Pages 44)  
(preferred arrangement set forth below)
  - Descriptive Title of the Invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference sequence listing, a table,  
or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawings(s) (35 USC 113) (Total Sheets 19)
5. ☒ Oath or Declaration (Total Pages 3)
  - a. ☒ Newly Executed (Original or Copy)
  - b. ☐ Copy from a Prior Application (37 CFR 1.63(d))  
(for Continuation/Divisional with Box 18 completed)
    - i. ☐ DELETIONS OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
  - c. ☐ Unsigned.
6. ☐ Application Data Sheet. (37 CFR 1.76)
7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. ☐ Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. ☐ Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statement verifying identity of above copies

17510 U.S. PTO  
10/701059



11/03/03

## ACCOMPANYING APPLICATION PARTS

- |      |               |  |
|------|---------------|--|
| 9.   | <u>  X  </u>  | <b>Assignment Papers (cover sheet &amp; documents(s))</b>  |
| 10.  | <u>      </u> | a. Separate 37 CFR 3.73(b) Statement (where there is an assignee)  |
|      | <u>  X  </u>  | b. Power of Attorney   |
| 11.  | <u>      </u> | English Translation Document (if applicable)   |
| 12.  | <u>  X  </u>  | a. Information Disclosure Statement (IDS)/PTO-1449   |
|      | <u>  X  </u>  | b. Copies of IDS Citations   |
| 13.  | <u>      </u> | <b>Preliminary Amendment</b>   |
| 14.  | <u>  X  </u>  | <b>Return Receipt Postcard (MPEP 503) (Should be specifically itemized)</b>  |
| 15.  | <u>      </u> | Certified Copy of Priority Document(s) (if foreign priority is claimed)  |
| 16.  | <u>  X  </u>  | <b>Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). <u>Applicant must attach form PTO/SB/35 or its equivalent.</u></b> |
| 17A. | <u>  X  </u>  | Other: <u>Certificate of Express Mail with copy of postcard showing contents of</u><br><u>Express Mail package.</u>              |


- 17B.   X   Pursuant to 37 C.F.R. 1.136(a)(3), applicant(s) hereby request and authorize the U.S. Patent and Trademark Office to (1) treat any concurrent or future reply that requires a petition for extension of time as incorporating a petition for extension of time for the appropriate length of time and (2) charge all required fees, including extension of time fees and fees under 37 C.F.R. 1.16 and 1.17, to Deposit Account No. 02-2666.

**18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet Under 37 C.F.R. 1.76:**

Continuation Divisional X Continuation-in-part (CIP)  
 Of Prior Application No.: 10/382,635 Examiner Not yet assigned Group Art Unit 2652  
 (which is a continuation/divisional/CIP of prior application no. \_\_\_\_\_,  
 which is a continuation/divisional/CIP of prior application no. \_\_\_\_\_) (List entire chain of priority)

**Applicant(s):** Also include a Preliminary Amendment to amend the specification to claim priority. For CONTINUATION AND DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. Correspondence Address  
Customer Number or Bar Code Label \_\_\_\_\_  
or \_\_\_\_\_ (Insert Customer No. or Attach Bar Code Label  
here)  
☒ Correspondence Address Below  
NAME Daniel E. Ovanezian  
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP  
ADDRESS 12400 Wilshire Boulevard  
Seventh Floor  
CITY Los Angeles STATE California ZIP CODE 90025-1026  
Country U.S.A. TELEPHONE (408) 720-8300 FAX (408) 720-8383

Name (PRINT/TYPE): Daniel E. Ovanezian Registration No.: 41,236  
Signature:  Date: 11/3/03

**FEE TRANSMITTAL FOR FY 2004**

(FY 2004 Begins 10/01/2003)

**TOTAL AMOUNT OF PAYMENT (\$)** 1860.00

Complete if Known:

Application No. Not yet assignedFiling Date HerewithFirst Named Inventor Shoji SuzukiExaminer Name Not yet assignedArt Unit Not yet assignedAttorney Docket No. 004085.P037☐ Applicant claims small entity status. See 37 CFR 1.27.**METHOD OF PAYMENT** (check all that apply)☒ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None☒ Deposit AccountDeposit Account Number : 02-2666

Deposit Account Name: \_\_\_\_\_

☒ The Director is Authorized to do the following with respect to the above-identified Deposit Account:☐ Charge fee(s) indicated below.☒ Credit any overpayments.☒ Charge any additional fees during the pendency of this application.☒ Any concurrent or future reply that requires a petition for extension of time should be treated as incorporating an appropriate petition for extension of time and all required fees should be charged.☐ Charge fee(s) indicated below except for the filing fee.**FEE CALCULATION****1. BASIC FILING FEE**

| <u>Large Entity</u> |                 | <u>Small Entity</u> |                 | <u>Fee Description</u>             | <u>Fee Paid</u>         |
|---------------------|-----------------|---------------------|-----------------|------------------------------------|-------------------------|
| <u>Code</u>         | <u>Fee (\$)</u> | <u>Code</u>         | <u>Fee (\$)</u> |                                    |                         |
| 1001                | 770             | 2001                | 385             | Utility application filing fee     | <u>770.00</u>           |
| 1002                | 340             | 2002                | 170             | Design application filing fee      | _____                   |
| 1003                | 530             | 2003                | 265             | Plant filing fee                   | _____                   |
| 1004                | 770             | 2004                | 385             | Reissue filing fee                 | _____                   |
| 1005                | 160             | 2005                | 80              | Provisional application filing fee | _____                   |
| <b>SUBTOTAL (1)</b> |                 |                     |                 |                                    | <b>\$ <u>770.00</u></b> |

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

|                    |           |          | <u>Extra Claims</u> | <u>Fee from below</u> | <u>Fee Paid</u> |
|--------------------|-----------|----------|---------------------|-----------------------|-----------------|
| Total Claims       | <u>64</u> | - 20** = | <u>44</u>           | X <u>18.00</u>        | = <u>792.00</u> |
| Independent Claims | <u>6</u>  | - 3** =  | <u>3</u>            | X <u>86.00</u>        | = <u>258.00</u> |
| Multiple Dependent |           |          |                     |                       | = _____         |

\*\*Or number previously paid, if greater; For Reissues, see below.

| <u>Large Entity</u> |                 | <u>Small Entity</u> |                 | <u>Fee Description</u>                                    |
|---------------------|-----------------|---------------------|-----------------|---|
| <u>Code</u>         | <u>Fee (\$)</u> | <u>Code</u>         | <u>Fee (\$)</u> |   |
| 1202                | 18              | 2202                | 9               | Claims in excess of 20                                    |
| 1201                | 86              | 2201                | 43              | Independent claims in excess of 3                         |
| 1203                | 290             | 2203                | 145             | Multiple dependent claim, if not paid                     |
| 1204                | 86              | 2204                | 43              | **R issue independent claims over original patent         |
| 1205                | 18              | 2205                | 9               | **Reissue claims in excess of 20 and over original patent |

**SUBTOTAL (2)** \$ 1,050.00

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

| <u>Large Entity</u>       |                 | <u>Small Entity</u> |                 | <u>Fee Description</u>   | <u>Fee Paid</u> |
|---------------------------|-----------------|---------------------|-----------------|--|-----------------|
| <u>Fee Code</u>           | <u>Fee (\$)</u> | <u>Fee Code</u>     | <u>Fee (\$)</u> |  |                 |
| 1051                      | 130             | 2051                | 65              | Surcharge - late filing fee or oath  | _____           |
| 1052                      | 50              | 2052                | 25              | Surcharge - late provisional filing fee or cover sheet                     | _____           |
| 1053                      | 130             | 1053                | 130             | Non-English specification  | _____           |
| 1812                      | 2,520           | 1812                | 2,520           | For filing a request for ex parte reexamination                            | _____           |
| 1813                      | 8,800           | 1813                | 8,800           | Request for inter parties reexamination                                    | _____           |
| 1804                      | 920*            | 1804                | 920*            | Requesting publication of SIR prior to Examiner action                     | _____           |
| 1805                      | 1,840*          | 1805                | 1,840*          | Requesting publication of SIR after Examiner action                        | _____           |
| 1251                      | 110             | 2251                | 55              | Extension for reply within first month                                     | _____           |
| 1252                      | 420             | 2252                | 210             | Extension for reply within second month                                    | _____           |
| 1253                      | 950             | 2253                | 475             | Extension for reply within third month                                     | _____           |
| 1254                      | 1,480           | 2254                | 740             | Extension for reply within fourth month                                    | _____           |
| 1255                      | 2,010           | 2255                | 1,005           | Extension for reply within fifth month                                     | _____           |
| 1401                      | 330             | 2401                | 165             | Notice of Appeal   | _____           |
| 1402                      | 330             | 2402                | 165             | Filing a brief in support of an appeal                                     | _____           |
| 1403                      | 290             | 2403                | 145             | Request for oral hearing   | _____           |
| 1451                      | 1,510           | 1451                | 1,510           | Petition to institute a public use proceeding                              | _____           |
| 1452                      | 110             | 2452                | 55              | Petition to revive - unavoidable   | _____           |
| 1453                      | 1,330           | 2453                | 665             | Petition to revive - unintentional   | _____           |
| 1501                      | 1,330           | 2501                | 665             | Utility issue fee (or reissue)   | _____           |
| 1502                      | 480             | 2502                | 240             | Design issue fee   | _____           |
| 1503                      | 640             | 2503                | 320             | Plant issue fee  | _____           |
| 1460                      | 130             | 1460                | 130             | Petitions to the Commissioner  | _____           |
| 1807                      | 50              | 1807                | 50              | Processing fee under 37 CFR 1.17(q)  | _____           |
| 1806                      | 180             | 1806                | 180             | Submission of Information Disclosure Stmt                                  | _____           |
| 8021                      | 40              | 8021                | 40              | Recording each patent assignment per property (times number of properties) | 40.00           |
| 1809                      | 770             | 2809                | 385             | For filing a submission after final rejection (see 37 CFR 1.129(a))        | _____           |
| 1814                      | 110             | 2814                | 55              | Statutory Disclaimer   | _____           |
| 1810                      | 770             | 2810                | 385             | For each additional invention to be examined (see 37 CFR 1.129(b))         | _____           |
| 1801                      | 770             | 2801                | 385             | Request for Continued Examination (RCE)                                    | _____           |
| 1802                      | 900             | 1802                | 900             | Request for expedited examination of a design application                  | _____           |
| 1504                      | 300             | 1504                | 300             | Publication fee for early, voluntary, or normal pub.                       | _____           |
| 1505                      | 300             | 1505                | 300             | Publication fee for republication  | _____           |
| 1803                      | 130             | 1803                | 130             | Request for voluntary publication or republication                         | _____           |
| 1808                      | 130             | 1808                | 130             | Processing fee under 37 CFR 1.17(i) (except provisionals)                  | _____           |
| 1454                      | 1,330           | 1454                | 1,330           | Acceptance of unintentionally delayed claim for priority                   | _____           |
| Other fee (specify) _____ |                 |                     |                 |  | _____           |
| Other fee (specify) _____ |                 |                     |                 |  | _____           |

**SUBTOTAL (3) \$ 40.00**

\*Reduced by Basic Filing Fee Paid

**SUBMITTED BY:**Typed or Printed Name: Daniel E. OvanezianSignature: Date: 11/3/03Reg. Number: 41,236Telephone Number: (408) 720-8300

Send to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

**REQUEST AND CERTIFICATION UNDER 35 U.S.C. 122(b)(2)(B)(i)**First Named Inventor Shoji SuzukiTitle A MAGNETIC RECORDING DISK HAVING A TRANSITION ZONEAttorney Docket No. 004085.P037

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

11/3/03  
Date  
SignatureDaniel E. Ovanezian

Typed or Printed Name

41,236

Registration No.

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months after the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Send to: Commissioner for Patents, PO Box 1450, Alexandria, Virginia 22313-1450.

EV336588255US

"Express Mail" mailing label number: EV336588255US

Date of Deposit: 11/03/03

I hereby certify that I am causing this paper or fee to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above and that this paper or fee has been addressed to Commissioner for Patents, PO Box 1450, Alexandria, Virginia 22313-1450.

JANITA BRISCOE

(Typed or printed name of person mailing paper or fee)

[Signature]

(Signature of person mailing paper or fee)

11/03/03

(Date signed)

11/3/03

\*\*\*\*\*

Serial/Patent No. \_\_\_\_\_

Client: KOMAG, INC.

Filing/Issue Date: 11/3/03

Title: A MAGNETIC RECORDING DISK HAVING A TRANSITION ZONE

BSTZ File No.: 004085.P037

Atty/Secty Initials: DEO/jb

Date Mailed: 11/3/03

Docket Due Date: \_\_\_\_\_

The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon: 11/03/03

Check No. 61044

Amt: \$1,820

Check No. 60875

Amt: \$40

☐ Express Mail 11/03/03 (pgs.)

☐ Month(s) Extension of Time

☒ Information Disclosure Statement & PTO-1449 (pgs.)

☐ Issue Fee Transmittal

☐ Notice of Appeal

☐ Petition for Extension of Time

☐ Petition for \_\_\_\_\_

☒ Postcard

☐ Power of Attorney (pgs.)

☐ Preliminary Amendment (pgs.)

☐ Reply Brief (pgs.)

☐ Response to Notice of Missing Parts

☐ Small Entity Declaration for Indep. Inventor/Small Business

☒ Transmittal Letter, in duplicate

☒ Fee Transmittal, in duplicate

☐ Drawings: 19 # of sheets includes 20 figures

☒ Declaration & POA (3 pgs.)

☒ Disclosure Docs & Orig & Copy of Inventor's Signed Letter (pgs.)

☒ Other: \_\_\_\_\_

☒ Request & Certification under 35 USC 122(b) (2) (B) (i)

☒ Cited Art (8)